

<p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	<p>Policy Number</p> <p style="text-align: center;">27-04-01</p> <p>Date Filed</p> <p style="text-align: center;">Not on file with LRC</p>	<p>Total Pages</p> <p style="text-align: center;">3</p> <p>Effective Date</p> <p style="text-align: center;">March 31, 2006</p>
<p>Authority/References</p> <p>KRS 196.030, 196.035, 439.600, 439.630 P & P ACA Standards 3-3104, 3-3105, 3-3106, 3-3107, 3-3108, 3-3111, 3-3112</p>	<p>Subject</p> <p style="text-align: center;">DATA COLLECTION AND INTERNAL RESEARCH</p>	

I. DEFINITIONS

As used in this document, the following definitions apply:

“Administrator of Field Services” means the Director, Assistant Director, or other person charged with the administration and oversight of the Division of Probation and Parole.

“IT” means the Department of Corrections Information and Technology Branch.

“Outside service provider” means any person or entity not directly employed by the Department of Corrections that provides services to an individual under the supervision of the Division of Probation and Parole.

“Properly authorized personnel” means any employee of the Department of Corrections or any person authorized by the Administrator of Field Services or designee.

II. POLICY and PROCEDURE

In accordance with CPP 5.1, the Division of Probation and Parole shall facilitate, maintain and use an organized system of information retrieval and review as part of an overall management, planning, and research capacity. (3-3104)

A. Data shall be collected and reported as follows: (3-3105)

1. The Administrator of Field Services and other appropriate staff shall identify information needs prior to the collection of data for the information management system. These needs shall be formulated in conjunction with: (3-3108)
 - a. The daily operational needs of the division;
 - b. Specific performance objectives established by the yearly strategic plan and other documents; and
 - c. Long-range performance goals established by the biennial budget and strategic plan.

Policy Number	Effective Date	Page
27-04-01		2

2. Except for the data collected by virtue of daily record keeping and operations of the agency, the Administrator of Field Services shall review each request for information prior to data being collected. (3-3112)
 - a. Data collection may be accomplished by using any of the following media:
 - i. An automated offender management system;
 - ii. Written documents such as ledgers, case notes and court records; or
 - iii. Verbal interviews with offenders, employees, or outside service providers.
 - b. Upon approval of the Administrator of Field Services, the division may use any employee, contractor, consultant, volunteer, or intern to collect data on offenders and programs.
 - c. The Administrator of Field Services may use IT staff to query databases and other electronic sources for the collection of specific data.
 3. The Administrator of Field Services may direct the organization of all data collected into any form necessary to insure that the data meets the specific informational needs. If the Administrator of Field Services does not specify such organization or form, the person preparing the report shall make every effort to use the data to address only those needs originally specified by the Administrator of Field Services.
 4. When approving data collection to meet informational needs, the Administrator of Field Services shall designate specific staff to process the collected data. Designated staff shall handle data confidentially and shall make every effort to protect the privacy of individual offenders. (3-3111)
 5. Upon completion, all information obtained through this process shall be reported in the specified form to the Administrator of Field Services. The Administrator of Field Services shall review all findings and refer the report back to the designated staff if corrections are needed. The Administrator of Field Services shall disseminate the approved report in part or in whole to properly authorized personnel.
- B. The Division of Probation and Parole shall make every effort to protect data under its control. (3-3111)

Policy Number	Effective Date	Page
27-04-01		3

1. Personnel of the central office and all district offices shall protect written materials by:
 - a. Organizing those materials into binders, files, or ledgers;
 - b. Storing materials in file cabinets or shelves; or
 - c. Keeping materials in locked areas when not in use by authorized personnel.
 2. IT staff shall protect all electronic media by:
 - a. regularly backing up or otherwise copying all databases and electronic files used for informational purposes and data collection to protect them from any form of destruction; and
 - b. maintaining strict password control over all automated systems, electronic files and databases.
- C. In addition to special requests for information, the Administrator of Field Services shall direct ongoing internal research efforts.
1. Ongoing research efforts may be used to:
 - a. Measure the achievement of specific goals and objectives;
 - b. Guide operational decisions;
 - c. Inform budget and strategy formulations; or
 - d. Fulfill other informational needs.
 2. The Administrator of Field Services shall designate a staff member to oversee internal research efforts. This designee shall report on such research at least quarterly to the Administrator of Field Services. (3-3106)
- D. The Administrator of Field Services shall review the information and data collection system at least annually. (3-3105)